



2152-
#4
sp
8-21-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/932,373
Group Art Unit: 2152
Filing Date: August 17, 2001
Applicant: Anderson et al.
Entitled: SYSTEM FOR ON-LINE FINANCIAL SERVICES USING
DISTRIBUTED OBJECTS

RECEIVED

AUG 15 2003

Technology Center 2100

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 (A)

Date of Deposit: August 11, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Kim B. Powers
Kim B. Powers

Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

As authorized and encouraged under 37 CFR §§ 1.97-1.98 and the provisions of MPEP §§ 609 and 707.05 (b), Applicant(s) submits herewith certain supplemental patent references, publications and/or other information which the Patent and Trademark Office may wish to consider in examining the above-identified patent application. The references and information are listed below and on attached form PTO-1449.

RECEIVED
AUG 20 REC'D
TC 2100



RECEIVED

AUG 15 2003

Technology Center 2100

U.S. PATENT DOCUMENTS

U.S. PATENT NO.	INVENTOR(S)
None	

FOREIGN PATENT DOCUMENTS

COUNTRY	PATENT NO.	INVENTOR(S)
None		

OTHER DOCUMENTS

1. The Cushing Group, Inc., "Introduction to Distributed Client/Server Computing with ObjectBroker," ObjectWorld San Francisco, July 1994 (PowerPoint slides)
2. The Cushing Group, Inc., "Using CORBA to Integrate Legacy Systems," ObjectWorld Boston, March 22, 1995 (PowerPoint slides)
3. The Cushing Group, Inc., "Lessons Learned Deploying a Large-Scale Distributed Object Computing Environment," ObjectWorld Boston, May 1996 (PowerPoint slides)
4. Michael L. Ronayne and Erik S. Townsend, "Preserving the past, designing the future," Object Magazine., September 1995
5. "Wells Fargo: Innovations in Customer Management," American Banker, November 3, 1997
6. Berkov, Barry, "CompuServe." Keynote address given at Internet Telecom 95. Geneva Arena, Geneva, Switzerland, Oct. 8, 1995.
7. Birrel, A. D., and Nelson, B., "Implementing Remote Procedure Calls," ACM Transactions on Computer Systems, Vol. 2, No. 1, pp.39-59 (1984).
8. Business Example: A Case Study. Slide Show. US:The Cushing Group, Inc., 1994-1997.
9. CORBA services specification – v1.0, March 1995. Available as pdf from <http://cgi.omg.org/cgi-bin/doc?formal/97-02-08.pdf>. Last access 1/30/03.
10. "DCE Means Business", Kathryn E. DeNitto, DCE Technology Manager, 20 March 1995, <http://www.opengroup.org/dce/>, last accessed February 26, 2003.

11. (Distributed Application Software: Architecture and Design . Slide Show. US:The Cushing Group, Inc., 1992-1993.
12. Edwards, Jeri, with Deborah DeVoe, "Wells Fargo Leads the Way to Internet Banking." Three-Tier Client/Server at Work 1997:107-130 (Ch. 6)
13. Edwards, Nigel, and Owen Rees, "Distributed Objects and the World Wide Web." (ANSA) Cambridge, UK, Architecture Projects Mgmt., Ltd., Aug. 24,1994.
14. Samuel C. Kendall, Jim Waldo, Ann Wollrath and Geoff Wyant, "A Note on Distributed Computing", TR-94-29, Sun Microsystems, <http://research.sun.com/techrep/1994/abstract-29.html>, last access 2/24/03.
15. Orbix Advanced Programmer's Guide, Release 1.3. 1. Dublin, Ireland: IONA Technologies, Ltd., Feb. 1995.
16. The Orbix Architecture. Dublin, Ireland: IONA Technologies, Ltd., Aug. 1993.
17. Orbix.Programmer's Guide, Release 1.3. Dublin, Ireland: IONA Technologies, Ltd., Apr. 1995.
18. "Remote Procedure Call in a Distributed Computing Environment", The Open Software Foundation, 1990, <http://www.mit.bme.hu/~kiss/docs/dce/rpc.html>, last accessed February 26, 2003.
20. Ronayne, Michael L., and Erik S. Townsend, "A Case Study: Distributed Object Technology at Wells Fargo Bank" (Cushing Group white paper) US:The Cushing Group, Inc., 1996.
21. Sirbu, Marvin, and J.D. Tygar, "NetBill: An Internet Commerce System Optimized for Network-Delivered Services." IEEE Personal Communications, August 1995:34-39.
22. Smith, Mark, "Interview with Bruce MacNaughton." Windows & Net Magazine Nov. 1996. Mar. 6,2003 <<http://www.winnetmag.com/Articles/Index.cfm? ArticleID=2823>>.
23. Thomas, Gomer, ANSA Phase III: Trader Implementation with Orbix & ALLBASE (TC Talk, June 1994). Cambridge, UK:Architecture Projects Mgmt. Ltd. Sept. 2, 1994.
24. Truncale, David, "CompuServe Brings NT Online." Windows & Net Magazine, Nov. 1996. Mar. 6, 2003 <<http://www.winnetmag.com/Articles/Index.cfm? ArticleID=2822>>.
25. Wells Fargo Bank is First to Offer Customers Internet Access to Bank Account Balances. San Francisco, CA: Wells Fargo Bank, May 18, 1995.

26. Seybold, Patricia, "Chapter 6 - Provide a 360-Degree View."
Customers.com: How to Create a Profitable Business Strategy for the Internet and Beyond. Toronto:Random House, 1998. 193-213.
27. Ronayne, Michael L., The Business Case for Distributed Computing.
(Object World) San Francisco, CA:The Cushing Group, Inc., Aug. 1995.

A copy of each document is included for the express purpose of providing the Patent and Trademark Office with ample opportunity to evaluate the same and arrive at an independent assessment of the materiality of each, if any, to the examination of the above-identified application.

In reviewing the enclosed copies of the above documents, the Examiner is instructed to ignore any underscoring or highlighting which may have been done because such markings may or may not have any relationship to the subject matter of the above-identified application. The copies being submitted with this Information Disclosure Statement are the best copies available at this time.

The identification of any document herein is not intended to be, and should not be understood as being, an admission that each such document, in fact, constitutes "prior art" within the meaning of applicable law.

Applicant(s) submit this statement in accordance with their duty of disclosure under 37 C.F.R. §1.56. This statement is filed in accordance with 37 C.F.R. 1.97(c), after the mailing date of a first Office Action on the merits, but before the mailing date of either a final action or a Notice of Allowance.

This Information Disclosure Statement is accompanied by a fee as required by 37 C.F.R. 1.97(c) in the amount of \$180.00 as set forth in 37 C.F.R. 1.17(p).

Applicant(s) respectfully requests that the documents cited herein be made of record in the normal manner and that such documents appear on the printed patent as being considered and made of record.

Respectfully submitted,

Date: August 8, 2003

By: Carol G. Stovsky
Carol G. Stovsky
Registration No.: 42,171
Standley & Gilcrest LLP
495 Metro Place South, Suite 210
Dublin, Ohio 43017-5315
Telephone: (614) 792-5555
Facsimile: (614) 792-5536



FORM PTO-1449 TO BE FILED WITH
INFORMATION DISCLOSURE STATEMENT

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No. BLO1134-006E Serial No. 09/932,373

INFORMATION
DISCLOSURE STATEMENT
BY APPLICANTS

Anderson, et al.
Applicants

August 17, 2001
Filing Date

2152
Group Art Unit

Mark Rinehart
Examiner's name

RECEIVED

AUG 15 2003

Technology Center 2100

U.S. PATENT DOCUMENTS

Examiner's Initial	Document Number	Date	Name	Class/Sub- class
			None	

FOREIGN PATENT DOCUMENTS

Examiner's Initial	Document Number	Date	Country/Name	Translation? yes/no
None			None	

OTHER DOCUMENTS

1. The Cushing Group, Inc., "Introduction to Distributed Client/Server Computing with ObjectBroker," ObjectWorld San Francisco, July 1994 (PowerPoint slides)
2. The Cushing Group, Inc., "Using CORBA to Integrate Legacy Systems," ObjectWorld Boston, March 22, 1995 (PowerPoint slides)
3. The Cushing Group, Inc., "Lessons Learned Deploying a Large-Scale Distributed Object Computing Environment," ObjectWorld Boston, May 1996 (PowerPoint slides)
4. Michael L. Ronayne and Erik S. Townsend, "Preserving the past, designing the future," Object Magazine., September 1995
5. "Wells Fargo: Innovations in Customer Management," American Banker, November 3, 1997

6. Berkov, Barry, "CompuServe." Keynote address given at Internet Telecom 95. Geneva Arena, Geneva, Switzerland, Oct. 8, 1995.
7. Birrel, A. D., and Nelson, B., "Implementing Remote Procedure Calls," ACM Transactions on Computer Systems, Vol. 2, No. 1, pp.39-59 (1984).
8. Business Example: A Case Study. Slide Show. US:The Cushing Group, Inc., 1994-1997.
9. CORBA services specification – v1.0, March 1995. Available as pdf from <http://cgi.omg.org/cgi-bin/doc?formal/97-02-08.pdf>. Last access 1/30/03.
10. "DCE Means Business", Kathryn E. DeNitto, DCE Technology Manager, 20 March 1995, <http://www.opengroup.org/dce/>, last accessed February 26, 2003.
11. (Distributed Application Software: Architecture and Design . Slide Show. US:The Cushing Group, Inc., 1992-1993.
12. Edwards, Jeri, with Deborah DeVoe, "Wells Fargo Leads the Way to Internet Banking." Three-Tier Client/Server at Work 1997:107-130 (Ch. 6)
13. Edwards, Nigel, and Owen Rees, "Distributed Objects and the World Wide Web." (ANSA) Cambridge, UK, Architecture Projects Mgmt., Ltd., Aug. 24, 1994.
14. Samuel C. Kendall, Jim Waldo, Ann Wollrath and Geoff Wyant, "A Note on Distributed Computing", TR-94-29, Sun Microsystems, <http://research.sun.com/techrep/1994/abstract-29.html>, last access 2/24/03.
15. Orbix Advanced Programmer's Guide, Release 1.3. 1. Dublin, Ireland: IONA Technologies, Ltd., Feb. 1995.
16. The Orbix Architecture. Dublin, Ireland: IONA Technologies, Ltd., Aug. 1993.
17. Orbix Programmer's Guide, Release 1.3. Dublin, Ireland: IONA Technologies, Ltd., Apr. 1995.
18. "Remote Procedure Call in a Distributed Computing Environment", The Open Software Foundation, 1990, <http://www.mit.bme.hu/~kiss/docs/dce/rpc.html>, last accessed February 26, 2003.
20. Ronayne, Michael L., and Erik S. Townsend, "A Case Study: Distributed Object Technology at Wells Fargo Bank" (Cushing Group white paper) US:The Cushing Group, Inc., 1996.

21. Sirbu, Marvin, and J.D. Tygar, "NetBill: An Internet Commerce System Optimized for Network-Delivered Services." IEEE Personal Communications, August 1995:34-39.
22. Smith, Mark, "Interview with Bruce MacNaughton." Windows & Net Magazine Nov. 1996. Mar. 6, 2003 <<http://www.winnetmag.com/Articles/Index.cfm? ArticleID=2823>>.
23. Thomas, Gomer, ANSA Phase III: Trader Implementation with Orbix & ALLBASE (TC Talk, June 1994). Cambridge, UK:Architecture Projects Mgmt. Ltd. Sept. 2, 1994.
24. Truncale, David, "CompuServe Brings NT Online." Windows & Net Magazine, Nov. 1996. Mar. 6, 2003 <<http://www.winnetmag.com/Articles/Index.cfm? ArticleID=2822>>.
25. Wells Fargo Bank is First to Offer Customers Internet Access to Bank Account Balances. San Francisco, CA: Wells Fargo Bank, May 18, 1995.
26. Seybold, Patricia, "Chapter 6 - Provide a 360-Degree View." Customers.com: How to Create a Profitable Business Strategy for the Internet and Beyond. Toronto:Random House, 1998. 193-213.
27. Ronayne, Michael L., The Business Case for Distributed Computing. (Object World) San Francisco, CA:The Cushing Group, Inc., Aug. 1995.

Examiner	Date Considered
----------	-----------------

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

The identification of any document herein is not intended to be, and should not be understood as being, an admission that each such document, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given document may have a later effective date than at first seems apparent or the document may have an effective date which can be antedated. The "prior art" status of any document is a matter to be resolved during prosecution.

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 (A)

Date of Deposit: *August 11, 2003*

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kim B. Powers
 Kim B. Powers